DDA/REG LOGGED

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

FROM: [redacted] STAT
Director of Information Services
1205 Ames

EXTENSION

NO. OIS 86-107

DATE 12 May 1986 STAT

TO: (Officer designation, room number, and building)	DATE RECEIVED	DATE FORWARDED	OFFICER'S INITIALS	COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)
1. EO/DDA	14 MAY 1986			Bill:
2.				
3. ADDA	15 MAY 1986			Three (3) samples of audits we've done. [redacted] STAT
4.				
5. DDA	15 MAY 1986			Attachments: As Stated Thanks
6.				
7. DDA/IRO	22 May '86			
8.				
9. DDA Reg.				
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DD/A REGISTRY
FILE: 70-8

FORM 1-79 610 USE PREVIOUS EDITIONS

OIS 84-654
20 December 1984

MEMORANDUM FOR: Director, Imagery Analysis

FROM: [redacted] STAT
Agency Records Management Officer
Office of Information Services

SUBJECT: Survey of OIA Records Management Program

1. Attached is the finalized survey report prepared by this Division on OIA's information handling and records management practices. As you are aware, two members of IRMD met with [redacted] and [redacted] STAT STAT of your staff to discuss the report and to exchange ideas about implementing the changes recommended.

2. During this discussion, [redacted] STAT discussed OIA's views regarding the report and the recommendations. He expressed OIA's general agreement with the report's findings and a desire to hire an annuitant with the requisite expertise to assist [redacted] STAT in implementing the recommendations.

3. Our offer to assist you in obtaining the services of an annuitant with the appropriate background to fulfill this undertaking was readily accepted. We will contact two individuals that we have in process to determine if they would be willing to work with your staff for a few months. We will inform you of the results of these discussions as soon as possible. If neither individual is available, we will attempt to identify another annuitant for you or to work out some other arrangement for implementation.

4. We appreciate having the opportunity to survey your Office and the wholehearted cooperation given to us by members of your staff during this process. We believe that adopting the recommended changes will result in more effective handling and storage of information in OIA, as well as greater efficiency in the use of space and analyst time.

5. If you or any member of your staff have any questions or need additional information, please contact [redacted] or [redacted] STAT STAT

[redacted] STAT

Attachment:
As stated

Extra Copy

SURVEY OF INFORMATION HANDLING AND RECORDS MANAGEMENT PROGRAM IN THE OFFICE OF IMAGERY ANALYSIS

INTRODUCTION

1. At the request of the Director, Imagery Analysis, a survey of the information handling and records management procedures in the Office of Imagery Analysis (OIA) was conducted during the period of 16 July - 31 August 1984. The survey was carried out by [redacted] members of the Information Control Branch, Information Resources Management Division, Office of Information Services, and [redacted] the DI Records Management Officer (RMO). STAT STAT

2. The D/OIA requested a records survey and paper flow study to assist OIA in reducing its records holdings in anticipation of restructuring some division work areas and relocating its Registry later this year. Accordingly, the survey focused on the Registry's unique film (imagery) services and information handling functions, as well as the disposition of film and hardcopy collections held by branch analysts. The survey also included a review of OIA's Records Management Program.

3. In order to get a better understanding of how the Registry operates and interacts with the components served, the survey team interviewed Registry personnel and observed and discussed each function to determine the services being provided, the methods and procedures being used, and the reasons for operating as presently established. Discussions were also held with members of the Executive Staff, Production Group, and the five line divisions including all 15 branches. In the process of gathering further information, interviews were also conducted with personnel of the National Photographic Interpretation Center (NPIC) Registry, film library, and printing services branch regarding the registry support that they provide to OIA. Personnel throughout OIA and the NPIC components were most cooperative and helpful to the survey team. The following paragraphs summarize the survey findings, and specific recommendations are attached at Tab A.

SURVEY FINDINGS

RELATIONSHIP WITH NPIC

1. A host-tenant relationship which has always existed between NPIC and OIA has created a dependency on NPIC support in many areas. This relationship apparently is a result of working agreements and physical security considerations [redacted] STAT

2. For security reasons NPIC Registry acts as the focal point for the pickup and delivery of all mail [redacted] It also provides or supports other registry services for OIA. It controls OIA's incoming and outgoing Sensitive Compartmented Information (SCI), receives and transmits facsimile messages via the WASHFAX, LASERFAX and DACOM systems, receives cable traffic electronically via the NPIC communication facility, pouches SCI material overseas, disseminates a high volume of OIA finished intelligence publications, and also provides courier service within the building. While the NPIC Registry should continue to provide most of these services because it has the resources and expertise to do so, its involvement in document control and courier service seems to fragment OIA's paper flow, cause duplication of effort, and create unnecessary delays. STAT

PAPER FLOW AND DOCUMENT/FILM CONTROL

Mail that is picked up and delivered [redacted] must be exchanged at STAT the loading dock adjacent to the NPIC Registry. The Agency Headquarters couriers provide this scheduled service three times a day at 0930, 1130, and 1430. NPIC provides courier service within the building twice a day at 0830 and 1330. In comparing the two schedules, it seems there are not enough internal runs and they are not in line with the Headquarters courier schedule. While the NPIC courier schedule may suffice for outgoing mail, incoming mail arriving at NPIC at 0930 and 1130 must wait until 1330 for delivery and mail arriving at 1430 must wait until the next day for delivery. Since NPIC logs all incoming and outgoing SCI documents in its automated system, OASIS, further delay may be experienced if documents are not processed in time to meet the scheduled runs. NPIC's control of OIA documents, moreover, is no longer necessary since OIA Registry has a newer automated system, Common Use Automated Registry System (CARS), that can better handle this function.

The OIA Registry is organizationally under the Production Group. It is staffed by four MI Career Sub-Group positions -- Records Administrative Officer (GS-09) and three Information Control Assistants (GS-06). Although OIA Registry acts as sub-registry to NPIC, it functions more like a film library than a registry. It does provide limited document control and registry services for OIA correspondence, but its primary responsibility is the receipt, control, dissemination, and destruction of imagery (satellite and aircraft film) and the maintenance of a facility similar to a film reference library to house copies of this imagery.

OIA Registry personnel spend the greater part of their time attending to the film responsibilities of the office, including the control and distribution of film to OIA components. The film is received from NPIC in packets of individual frames (flat film) or in cans of roll film. Packets of frames are received three times a day, while boxes of roll film arrive in bulk shipments approximately one to three months apart. Manifests accompanying the shipments of flat film are used by the Registry to control individual frames. OIA Form 1206 (Film Control Record) is used to control cans of roll film. However, film control still breaks down at the registry and branch level because of unlimited access by users to the film holdings in the registry and loose control procedures throughout OIA.

In addition to control and distribution of film, the Registry maintains a reference library of film received for use by the analysts. The Registry receives its own set of flat film in the initial shipment, but it must build its reference set of roll film as the components return the cans of film for destruction. This procedure is cumbersome and inefficient because analysts may hold the film for months before returning it. Moreover, it is returned minus the film frames that have been "chipped," thereby reducing the value of the registry collection and further breaking down film control.

In performing its limited registry services, OIA Registry controls only incoming SCI material and the very few Top Secret collateral documents it receives. This control is recorded via the CARS down to the division level.

The Registry sorts and slots cables and other correspondence for pickup by the Division secretaries. The Division secretaries manually log these same documents again to the branch level, but provide no feedback to the registry concerning document location at that level. Outgoing collateral documents are controlled and packaged by the Division secretaries while SCI material is controlled and packaged by the NPIC Registry. The limited control of incoming documents and the fragmented flow of outgoing documents restricts the ability of OIA Registry to provide routine document handling services. It also limits the Registry's effectiveness in serving, like most registries, as a center for document retrieval and for providing information on the status of documents or satisfying accountability requirements.

The Registry also services an adjacent facility housing a facsimile machine and two hetra printers. In the past, the Registry was quite active in this role, but has gradually reduced its participation in and control of this operation.

OIA REGISTRY - PERFORMANCE AND RELATIONSHIPS

Operating within the framework of the Production Group, the Records Management Officer, who is also the Chief of the Registry, has not had the stature needed to gain the respect and cooperation of those being served, especially, when it comes to the reduction of file holdings or the acceptance of changes in operating procedures. Also, the grade structure of the Registry staff does not officially provide for one of the information control officers assuming leadership of the registry when the chief is not available.

In discussions with all levels of OIA personnel, it was mentioned several times that the Registry was not as responsive as it should be, that the noise level in the office is disturbing, and the registry personnel do not seem to be fully occupied.

This perception of the Registry can be attributed, at least in part, to the following factors:

1. The Registry is located directly in front of the main passage to and from OIA. The office area of the Registry is open-ended and exposed to the view of passers-by.

2. The arrangement of the work stations in the Registry creates a roundtable effect, encouraging unnecessary conversation at times.

3. This arrangement also requires some of the registry personnel to sit with their backs to the registry entrance, causing slower reaction to customers.

4. A few members of the staff are somewhat inexperienced in registry functions. They are not sure of their role and not fully prepared to perform some duties because of inconsistent operating procedures and lack of written guidelines.

5. The overall physical layout of the Registry is poor. The location of equipment, desks, and work tables prevents efficient movement and communication by registry personnel within the area.

6. The Registry must share its black line with another office. Also, one registry member works at a desk without a phone.

7. The film responsibility, which is the Registry's biggest account, creates periods of high and low activity. The lack of more information control duties to offset the low periods of film activity gives the impression that the Registry is not busy overall.

FILES DISPOSITION

Very few of the analysts and clerical personnel interviewed had ever retired film or paper holdings to the Agency Archives and Records Center (AARC). Most personnel did not know the administrative procedures for transferring records to AARC nor did they know who to contact for guidance on these matters. Also, they seemed reluctant to trust the system because they were uninformed on how it operates and the services it provides. Therefore, OIA records holdings in the form of film and paper have accumulated freely over long periods of time, some as far back as the 1940s, but most during the last fifteen years. Film has been one of the fastest growing media in OIA's holdings. The majority of both professional and clerical personnel indicated that some portion of their holdings could be either destroyed or transferred to AARC for permanent or temporary retention but they just did not have time to review their files. This was due to a heavy workload or because it was not a priority responsibility.

FILES MANAGEMENT

Each analyst averages at least one conserv-a-file unit containing film and paper holdings. These files are usually kept according to the preference of the individual analyst. The condition of these files ranges from neat and orderly to disheveled and disorganized; the majority fall somewhere in between. In many cases, file folders contain obscure headings, file drawers are not labeled, and folders are filed according to frequency of use rather than in some systematic order. There are no indexes to these files and no standard filing systems among the analysts. This causes much reliance on the institutional memory of the individual who maintains the file and prevents others from retrieving documents readily, if at all. In a few divisions analysts rely mainly on centralized branch files instead of individual analyst files. This approach, by merging individual collections, eliminates duplication and saves space. A central files index makes maintenance and retrieval easier, and the centralized effect makes the files more accessible to branch personnel. The branch concept is effective when analysts share common target facilities. The individual concept is effective when an analyst is responsible for a particular target.

In relation to the condition of the files, the analysts commented on the shortage of clerical assistance in OIA. They feel the addition of more branch secretaries and intelligence assistants would help improve the condition and effectiveness of their holdings.

Front Office and Division level records holdings are minimal compared to the branches. The records consist of basic administrative files and are generally in good condition, organized, and indexed in a consistent manner.

FILES EQUIPMENT AND SUPPLIES

The files equipment in the branches is not compatible with the different sizes and formats of film. The inventory of conserv-a-file units, file cabinets, film cabinets, map cabinets, and open shelf units has become a hodgepodge collection. This is a result of individual branch acquisition of filing equipment to accommodate the changes in film size and format, as well as the ever-growing collection of paper records.

The shelves of many conserv-a-file units are not high enough to allow vertical filing of the old film format. At the same time, the drawers of these units are too high to file the latest film size, which is only 5" high, without wasting storage space. Also, these units were not built to hold the weight of film and are showing signs of overloading.

The film cabinets currently in use make it necessary to trim the film to fit the 8 inch wide twin rows of each drawer. In a few months, this equipment will be obsolete because the new film format will be 11 inches wide.

The compact movable shelving in the registry consists of 36 inch wide sections containing adjustable shelves that are 12 inches deep. This shelving is adequate to house the cans of roll film and the individual frames. The only problem in connection with the shelving is a lack of suitable trays to hold the frame film.

There do not seem to be enough filing supplies to properly maintain the film files, and there is little uniformity in the types of supplies used. Therefore, analysts sometimes have to spend valuable time taking makeshift steps to meet filing needs. For example, plastic sleeves protecting large frames are being cut down to reuse for the new smaller size. The same is being done with the manila file jackets used to hold the film. Even cardboard boxes used to ship the film are being used as file containers.

FORMS

OIA is not officially on record in the Agency Forms Program as the originating office or office of primary interest for the forms they have created. This is because OIA looks to NPIC for forms assistance and printing services. By not going through the Agency forms manager nor following the established procedures of the Agency Forms Program, a number of problems have arisen.

It is difficult to identify OIA originated forms. Some OIA forms carry NPIC form numbers and some do not have any form number. Some NPIC forms have been slightly revised for use by OIA without changing the original form number. This further confuses identification of the originating office. Neither NPIC nor OIA could provide documentation identifying all OIA forms. Through visits with the OIA graphics shop, the NPIC registry, and the NPIC printing services branch, at least twenty forms were eventually identified as OIA forms.

The OIA forms system is confusing, inconsistent, and inefficient. It has no organized method to handle the design, approval, reprint, consolidation, and reproduction of new, reprinted, or revised forms. Also, it does not provide for systematic storage and replenishment of forms. The component RMO is normally responsible for coordinating all phases of the forms process; this is not the case in OIA.

REPORTS

OIA produces various types of intelligence publications. Publications are done on a periodic or an ad hoc basis in the form of intelligence assessments, research papers, reference aids, and typescript memoranda. These publications contain short- or long-term analysis of specific programs, target areas, and facilities.

During discussions with analysts, it was noted that the record case files created when producing publications are not being maintained in accordance with the disposition instructions of the DDI Records Control Schedule, Item 19a(1), titled Intelligence Publication Files. These records are considered permanent and should be transferred to AARC on a yearly basis. The files consist of background papers and supporting documents such as terms of reference, working papers, drafts, outlines, distribution lists, memoranda, and a copy of the finished report. These files are currently held intact in OIA for various lengths of time and then destroyed or broken down and interfiled in other holdings. There are no established procedures for handling these records in accordance with the Records Control Schedule.

Similarly, the maintenance of supplemental copies of OIA publications is not in accordance with Item 19a(3) of the DDI Records Control Schedule which governs the distribution of supplemental copies of DDI publications. Throughout OIA multiple copies of OIA publications are being held for this purpose by Division secretaries, individual analysts, and branch chiefs. These holdings consume valuable storage space and are unnecessary since AARC receives as part of the standard distribution of these publications, a sufficient amount to handle this responsibility.

AUDIO/VISUAL RECORDS

The DDI Records Control Schedule is the official document governing the mandatory disposition of the audio/visual records of the DDI Offices. However, the schedule does not contain an item identifying a file series covering analysts' unique film holdings. Therefore, it is not clear how long OIA should retain an item such as a long-term chronological film collection of a target that would be extremely difficult or impossible to recreate.

The schedule currently provides for film to be deposited at the Agency Archives and Records Center on a temporary basis for six years. Unique film collections may require a longer, if not permanent, retention period. It is the responsibility of the user and the RMO to appraise these collections to determine if longer retention is warranted.

MACHINE-READABLE RECORDS

Machine-readable records are being created by some analysts on the VM system. These automated data bases are being used by the analysts to create files containing excerpts from hard copy reports, to manipulate text and figures, and to keep a chronological log of key citings of target facilities. However, the paper back-up to these automated systems is still being maintained. This practice creates duplicate records in some cases which may be eliminated at a later date.

MICROGRAPHICS

Microfiche is used throughout OIA, but no major application exists at this time. The microfiche is being used mainly to reduce hard copy holdings which have little reference activity such as periodic reports, studies, manuals, predicts, and old administrative files. The microfiche readers in OIA are of the older variety and few in number. Even though microfiche can be read on the analyst's light tables, it is used very little because microfiche is cumbersome to maneuver in target comparisons and suffers from degraded optic quality.

CLASSIFICATION AUTHORITY

Overall, OIA's effort is consistently strong in meeting its responsibility to protect classified information. This is especially true in determining the appropriate classification and controls relating to imagery derived data which make up the greatest percentage of OIA created documents. Determining the classification of collateral information seems to be more challenging because the need to do so occurs infrequently. Nevertheless, OIA clerical and professional personnel seek guidance from the designated SCI Control Officer who is responsible for OIA compliance with national policy guidelines for classification, compartmentation, and control of classified information. The SCI control officer ensures compliance by providing informal briefings, conducting periodic reviews of OIA produced documents, and distributing condensed versions of classification literature. OIA received a letter of commendation on its classification procedures as a result of the last inspection conducted by the Information Security Oversight Office (ISOO).

DIRECTIVES

OIA notices and directives are produced and distributed in a formal and systematic manner. The secretary to the Director of OIA maintains the numerical sequence for controlling issuances and retains copies of active and rescinded issuances for reference and archival purposes.

In addition, a set of Agency regulations, notices, and handbooks are maintained and controlled by the Director's office for use by all.

RECOMMENDATIONS

1. Broaden the Role of OIA Registry by Transferring Certain Functions from NPIC Registry.

The pending move of OIA to Headquarters warrants that its Registry become more self-sufficient and less dependent on NPIC registry support. Through such independence, the efficiency of OIA's paper-flow and document control would increase greatly, the additional duties performed by the Registry would provide a consistent work load, and the improved service provided by the Registry would raise its credibility and gain the confidence of those being served. Outlined below are the basic functions that would be added to OIA Registry.

a. The OIA Registry should perform the SCI control functions for OIA SCI correspondence.

Currently, NPIC Registry performs this function. This is a partial duplication of OIA's internal control and sometimes delays mail arriving to OIA.

b. The OIA Registry should be the initial focal point to receive OIA correspondence; the Headquarters mailroom should be requested to sort and bag OIA mail separately from the [redacted] mail that now is delivered to NPIC. STAT

Currently, OIA mail is received by NPIC Registry along with the mail for other tenants [redacted]. This procedure causes unnecessary delays in mail delivery to OIA because of the heavy volume of correspondence that NPIC must sort, control, and deliver. STAT

c. OIA Registry should prepare all outgoing mail for transmittal via the Agency mail and courier system.

Currently, outgoing collateral documents are receipted and packaged by the Division secretaries, while outgoing SCI documents are receipted and packaged by NPIC Registry. The fragmented flow of outgoing correspondence limits the ability of the OIA Registry to serve as a focal point for document accountability or responding to queries concerning the location or status of outgoing documents.

2. Augment or Replace the Internal Courier Service Between NPIC and OIA.

OIA Registry should provide its own courier service between NPIC registry and OIA to coordinate more effectively the flow of OIA mail with the three scheduled courier runs from Headquarters which are at 0930, 1130, and 1430. An alternative would be for OIA Registry to augment the two existing NPIC runs at 1000 and 1500 hours to reduce the layover time for mail. While the current schedule of internal runs may be adequate for

outgoing mail, the number of runs for incoming mail is inadequate. As previously noted, mail arriving at 0930 and 1130 must wait until 1330 for delivery and mail arriving at 1430 must wait until 0830 the next day to be delivered.

3. Expand the Use of the Common-Use Automated Registry System (CARS) and Provide an Additional Delta Data Terminal for OIA Registry.

OIA Registry should increase the use of the CARS capability to control, track, locate, and retrieve documents. To be able to respond to queries or requests for documents, and for accountability purposes, OIA Registry should expand document control to include all collateral Top Secret documents, selected collateral documents of lesser classifications, and all outgoing SCI material. An additional terminal would be needed in the registry to enter the increased volume of data.

Only incoming SCI documents and some collateral Top Secret documents are currently entered into the system. Control of collateral Top Secret documents is split between the Registry and the Production Staff. Moreover, important substantive documents of lower classifications and most outgoing SCI documents are not being controlled via CARS. This practice reduces the system's effectiveness by excluding documents it should track and control.

4. Eliminate Manual Logging of Documents by Division Secretaries.

All OIA correspondence should flow through the OIA Registry. Through the expanded use of CARS, not only would incoming and outgoing correspondence be controlled, but the intra-office movement of correspondence would also be controlled. Documents passing between divisions or branches would be routed through the registry so that the document location could be updated and centralized control would be maintained.

Currently, the OIA registry controls only selected incoming documents to the division level. Division secretaries control the same documents again to the branch level, but there is no feedback to the registry to update their information. This decentralized procedure causes unnecessary duplication, incomplete control data at both levels, and loss of a focal point to track documents.

5. Upgrade One of the Information Control Positions in the OIA Registry.

One of the information control positions in the Registry should be upgraded to the GS-07 level. This would assist in freeing the registry chief to actively pursue his role as the Records Management Officer and create a backup to the RMO when he is unavailable.

Currently, the three information control positions are at the GS-06 level. If the Registry receives the additional duties recommended, a backup position will have sufficient responsibility to warrant upgrading. This position also would be officially recognized as the one expected to provide instruction and leadership when needed.

6. Establish an Additional Position in the OIA Registry to Handle the Film Control Function.

The main function of the OIA Registry is that of operating a film library. To fulfill this responsibility properly, a position should be dedicated solely to this activity. The ideal control of film would require service provided separately from the routine registry services (See Recommendation No. 7). Also, if the Registry provides the additional document control and mail handling services recommended, the combination of the dedicated film service and the extra registry duties will warrant an additional position.

7. Establish an OIA Film Reference Service to Operate Independently Within the Registry.

A film reference facility should be established adjacent to or in the new registry area. This facility should operate similarly to the NPIC film library. Access to film would be physically restricted by over-the-counter service provided by a dedicated individual who would maintain charge-out procedures. Film control would be automated with a system similar to the OASIS system used by NPIC which requires basic data such as the person's name, bade number, room number, and extension.

When searching for film in the Registry, analysts currently have to deal with cumbersome manual procedures. They have access to film in the Registry and handle the administrative charge out procedures themselves; therefore weakening film control and accountability. Over-the-counter service and automated control would free analysts from dealing with confusing manual systems for filing, controlling, and locating film, and would strengthen film accountability.

8. Initiate a Concerted Effort to Reduce Records Holdings in OIA.

The Records Management Officer should make a concerted effort to inform OIA personnel about the Agency Records Management Program. He should advise them of the disposition instructions for schedule items and provide guidance in the administrative process of transferring records to the Agency Archives and Records Center (AARC). To encourage participation and inform OIA personnel, tours of AARC should be scheduled for OIA branch chiefs, analysts, and clericals. These tours should include briefings and demonstrations to show how the system works.

OIA is beginning to experience a space crunch in most work areas because of growing files which require additional storage equipment. In a few months a new collection system is expected to increase incoming film from 600 frames per day to 2,000 per day. Moreover, the pending restructuring of some division work areas and relocation of the Registry later this year should provide additional impetus to begin reducing records. It is estimated that OIA records holdings could be reduced by one-third through destruction of unnecessary holdings and transfer of temporary and permanent records to the AARC. A good way to start would be to destroy the extra, supplemental copies of OIA publications.

9. Remove OIA Registry Organizationally From the Production Staff and Place It Under the Executive Staff of the D/OIA.

The OIA Registry should be placed organizationally under the Administrative Branch of the Executive Staff to allow more direct communication with the front office and regular managerial review to ensure efficient operation.

Being located organizationally under the Production Group has not given the Records Management Officer, who is also the chief of the registry, the authority necessary to gain the cooperation of those being served. This is especially true in the area of reducing files holdings or accepting procedural changes. The RMO needs to be more visible in his role but he also needs backing and support from top management. The RMO could be a greater asset to OIA clericals and officers in providing guidance on information handling and records management problems.

10. Establish Uniform Procedures for Document Handling and Control.

Standard operating procedures should be established and documented for the Registry personnel to follow. OIA Notices should be used to advise and inform OIA personnel of the established functions of the Registry and the new mail flow procedures.

The lack of written instruction or guidelines to establish the function of OIA Registry has left the offices it serves unsure of what registry functions are available to them. The lack of established procedures in the Registry also has resulted in disparities in the control and dissemination of documents. Registry personnel need updated profiles to distribute cables, reports, and NID items. The lack of clear reponsibilities has resulted in requests for support occasionally being discouraged or not met on a timely basis. This, in turn, has led to situations where the registry has been bypassed and NPIC Registry has been consulted for advice or support.

11. Standardize Files Equipment and Supplies.

Procuring filing equipment to accommodate film and hard copy holdings in the branches should be a coordinated effort among the OIA divisions, particularly for metal cabinets to house the new 11 inch wide frame film. The present film cabinets will not accommodate this new film size, which will be in use within a few months. Conserv-a-file units designed with roll-out shelves high enough to allow lateral filing of the old larger frame film and split shelves to hold trays of the new wider frame film should be procured. The units currently in use are not designed to meet particular film needs or built to hold the weight of film.

Supplies needed to maintain film files should be consistent among the branches for practical purposes and economical reasons. Under the auspices of the RMO, analysts should meet and exchange ideas and suggestions for uniformity in this area. Analysts are using various commercial supplies, cannibalizing old supply materials, or using items not intended for that particular use.

The compact movable shelving currently used in the registry is adequate to continue to house the registry film collection until the move to the Headquarters area. However, it must be determined if this shelving can withstand the internal move when the registry is relocated [redacted]. The only item needed is suitable trays to hold the frame film. Metal trays for use with the shelving should be special ordered. STAT

12. Establish an OIA Forms Program.

OIA should request the guidance and assistance of the Agency forms manager in setting up a coordinated forms program and follow the established procedures of the Agency forms system. Operating in this fashion, the OIA forms program would be strengthened so that it could overcome the problems it is experiencing today.

OIA currently has no organized method to handle the design, reprint, consolidation, and reproduction of new, reprinted, or revised forms. It also does not provide for systematic storage and replenishment of forms. By assigning responsibility for forms to the RMO, an orderly process for the design, printing, and replenishment of management forms can be instituted.

13. Institute a Policy for Protection of Record Case Files of DDI Publications.

OIA should establish criteria for the creation of the case files of OIA publications and inform the analysts of their responsibility to maintain them in accordance with the DDI Records Control Schedule, Item 19a(1), entitled Intelligence Publication Files.

Record case files are not being maintained in any standard format, nor are they being kept in compliance with the records schedule.

14. Increase Clerical Assistance in the Branches to Improve Files Management.

Increased clerical support to the analysts by the addition of branch secretaries and intelligence assistants would relieve analysts of time consuming duties such as labeling film, trimming frames, collecting film from the registry, etc. This support would also benefit the analysts in keeping pace with maintenance of their records holdings. With this addition, branch files would be more widely used, and individual analysts' files would be better organized. File folders and file drawers would be appropriately labeled. Files would be organized, standard filing systems would be used, and indexes to file and retrieve data would be created and maintained.

15. Update DDI Records Control Schedule.

Unique film collections and machine-readable data bases should be considered for inclusion in the DDI Records Control Schedule. Tom Yeeles, the DI Records Management Officer should be contacted for guidance and assistance in the preparation and inclusion of these items.

This schedule, which governs the mandatory disposition of the records of DDI offices, does not contain schedule items identifying files series covering the unique film collections or automated data bases created by the analysts.

16. Consider the Applications of the Automated Microfiche Storage and Retrieval Systems (AMSRS) at the Branch Level.

A system that would encourage greater use of microfiche, significantly reduce paper holdings, and increase productivity of these files through easier access should be considered for use at the branch level.

AMSRS interfaces a microfilm store with existing computer systems to be used for the storage and retrieval of hardcopy material in the branch analysts' files. By using an automated index to hardcopy material converted to microfiche, a standard computer terminal could be used to retrieve information from an automated data base or from a microfiche store. AMSRS is currently being used operationally in SOVA with considerable success.

17. Include the Facsimile Machine and Hetra Printers in the Planned Relocation of the Registry.

The facsimile machine and hetra printers should be included in the planned relocation of the Registry, preferably within the new registry area.

The registry services an adjacent facility housing a facsimile machine and two hetra printers. In the past the Registry was quite active in this role, but has gradually reduced its participation in and control of this equipment. Both of these operations will be included as standard services in future registries (Information Services Centers) planned for Ames Building and the new Headquarters Building.

18. Establish a time frame Office-wide for Returning Roll Film From Each Mission to the Registry.

Tighter guidelines should be established for the return of roll film to the registry for destruction or storage. This procedure would eliminate the unnecessary accumulation of film in work areas, reduce security concerns, and enable the Registry to build a reference set sooner.

The length of time roll film is currently held in the branches before return to the Registry depends more on personal preferences of the analysts than a particular requirement. Lack of storage space in the branches seems to be the main driving force to return roll film. The Registry provides the branches with a schedule to return film for destruction, but it is not enforced and thus film remains in the branches longer than desired.

C-O-N-F-I-D-E-N-T-I-A-L

OIS 85-377

15 July 1985

MEMORANDUM FOR: Director of Research and Development

FROM: [redacted] 25X1
Agency Records Management Officer
Office of Information Services

SUBJECT: Survey of ORD Information Management Program

1. Attached is the survey report prepared by the Information Resources Management Division (IRMD) on ORD's information handling and records management practices. Representatives of IRMD recently met with members of your staff to discuss the report in draft and exchange views on the survey findings and recommendations. As agreed in that meeting, we have incorporated some minor changes in the final report. We are now officially submitting the approved report to you for implementation.

2. During the discussion of the report, your representatives expressed ORD's general agreement with the recommendations and a desire to see a number of them implemented as soon as feasible. Members of IRMD will be available, if needed, to offer assistance or guidance in implementing these changes.

3. We appreciate the opportunity you provided us to survey ORD and the wholehearted cooperation given by members of your staff. We believe that adopting the recommended changes will result in more effective handling and storage of information in ORD, as well as greater efficiency in using this information.

4. If you or any member of your staff have any questions or need additional information on the survey findings, please contact [redacted] 25X1
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SURVEY OF OFFICE OF RESEARCH AND DEVELOPMENT INFORMATION MANAGEMENT PROGRAM

A. INTRODUCTION

1. A survey of information handling and records management procedures in the Office of Research and Development (ORD) was conducted during the period 11 March 1985 - 8 April 1985. The survey was carried out by [redacted] members of the Information Resources Management Division, Office of Information Services (OIS). 25X1

2. The purpose of the survey was to review the ORD information management program to determine its effectiveness and compliance with Federal Regulations, and at the same time provide an opportunity for OIS to better understand ORD's Information Services Center (ISC) support requirements since its registry operations were assumed by the Ames Building ISC.

3. The survey team interviewed members of all ORD staffs, groups, and divisions to gain an understanding of how these components manage information and interact with the registry. Discussions were also held with registry personnel, and each registry function was observed to evaluate the services provided, the methods and procedures used, and the reasons for operating as currently established. Personnel throughout ORD were cooperative and helpful to the survey team. The survey findings are summarized in Section B, and specific recommendations are included in Section C.

B. SURVEY FINDINGS

1. Correspondence Flow and Control

All ORD correspondence flows through the Ames Building Information Services Center (ISC)[1]. Mail is picked up and

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[1]During the survey the ORD registry functions were transferred to the Ames Building Information Services Center (ISC). The ISC is now performing all of the services previously provided by the ORD Registry. When renovations to the ISC are completed, it will assume responsibility for laser printer operations now performed by ORD.

[redacted] 25X1

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delivered three times a day by the Ames Building courier--at 0930, 1130, and 1430. The ISC receipts, controls, and opens or wraps most of the incoming and outgoing correspondence for ORD components. Processed correspondence is slotted in the ISC and brought to ORD for pickup by ORD personnel. In addition to providing routine document handling services, ISC personnel pick up mail three days a week [redacted] 25X1
[redacted] Also, a facsimile device to send and receive 25X1
documents electronically is maintained in the ISC. [redacted] 25X1

Approximately half of the correspondence processed through the ISC consists of Sensitive Compartmented Information (SCI) documents, Top Secret collateral documents, and selected documents of lesser classification, which are controlled by the ISC to the division level. The system ORD employs to account for and track documents is consistent and efficient. There are no redundant efforts to control documents at the division level because internal correspondence flows back through the ISC, where the control records are updated, before being sent to the next office. The ISC maintains document accountability for ORD material via the Common-use Automated Registry System (CARS) which is updated by an individual who is familiar with ORD document control requirements.

An audit of ORD's Top Secret collateral documents and procedures for controlling these documents was recently conducted by the Agency Top Secret Control Office. The audit demonstrated that ORD is complying with requirements for handling this material as outlined in [redacted] 25X1

2. Files Management

The majority of ORD records holdings, which consist of Research and Development (R&D) project and contract files, are maintained in centralized division or branch files. Files kept on an individual basis are mostly working files. This central maintenance of office files is a good practice because it eliminates duplication, saves space, and makes the files more accessible to others. The filing systems employed in ORD are generally appropriate for the records being maintained. The system most commonly used is case filing--the files are arranged alphabetically using the filing feature most often requested in retrieving them.

Overall, the files are in good condition and well organized; however, there seems to be some inconsistency in determining the contents of the project and contract files. The ORD project files are permanent records, while the contract files, maintained by the ORD Contract Staff for the Office of Logistics, are temporary records. Both types of files, however, are referred to interchangeably as project or contract files by ORD employees.

Because the ORD project files are considered synonymous with contract files, the contract files at times are relied upon as the official file containing all documentation on a given project. As a result, some of the project files are incomplete and may even be inadvertently destroyed. Since the contract files are temporary records, they too are eventually destroyed, which could leave no complete record of the expenditure of manhours and money on some ORD projects. Aside from the legal questions potentially involved in destroying this documentation, the lack of an established standard criteria or guideline for the contents of the project and contract files also complicates the maintenance of these records. For example, it causes the Contract Staff to maintain additional documents in their files that should be in the ORD project files.

Administrative records throughout the office mainly consist of chrono files, travel files, security files, and some miscellaneous housekeeping files. These records are not maintained in a consistent manner and no standard filing system is being used. In some cases the same document may be found in a number of different files within a division; this is especially true in the case of chrono files. During discussions, some ORD personnel mentioned it was difficult to retrieve documents from administrative files, because there are no uniform subject file categories being used.

Another area of concern is the maintenance of vu-graph holdings at both the Office of the Director and the division level. The D/ORD vu-graph collection is backed up by a duplicate set held in the Planning, Programming & Budgeting Branch (PPBB) with an additional collection of older, less-used vu-graphs.

In the past, the collections of vu-graphs at both levels were indexed by title with a corresponding number assigned to the vu-graph. This system has broken down because vu-graphs are randomly switched from one briefing package to another and no charge-out system is being used to control and track them. Furthermore, housing the two collections in separate locations weakens access control and hampers the updating of both sets.

PPBB is responsible for maintaining the backup set of vu-graphs and is expected to provide vu-graph support to D/ORD when called upon to do so. Often times the D/ORD set is updated or changed and the back-up set in PPBB is overlooked, creating confusion and reducing the value of the second set.

Periodically, D/ORD needs to use vu-graphs which are held in the divisions. Currently, the divisions have no established procedures or guidelines to readily locate or retrieve vu-graphs. These vu-graphs are difficult to locate at times because they are not indexed and are kept either in the Contracting Officer Technical Representative's (COTR) working files or in some other decentralized fashion throughout the

divisions. It is even more difficult to locate vu-graphs when the COTR is unavailable. Currently, these vu-graphs held in division areas are updated on an ad hoc basis. COTRs unanimously feel that this is the most practical method because it results in the vu-graphs being updated only when needed, thereby limiting the creation of unnecessary vu-graphs.

3. Filing Equipment and Supplies

The filing equipment in ORD consists mainly of safes, lateral file units (conserv-a-files) and microfiche cabinets. This equipment is compatible with the types of records stored in ORD and conforms to requirements of security, building structure (floor load), and arrangement of office areas.

Standard two-drawer, four-drawer, and five-drawer safes are used to satisfy storage requirements in office secure areas as well as non-secure areas. Normally in secure areas, lateral and shelf file equipment is recommended because it uses floor space efficiently, speeds filing and retrieval, and costs less than safe-type storage equipment. ORD's use of safes in secure areas, however, complies with the security requirements for outlying buildings specifying that sensitive compartmented information (SCI) material be stored in safes even if in a secure area unless a waiver is granted. Within ORD the Agency objective to replace all Remington Rand safes in outlying buildings with security approved safekeeping equipment also has been fulfilled.

The filing supplies used in ORD are a combination of standard and non-standard items. Readily available standard filing supplies are used throughout ORD to maintain the majority of the administrative files, but limited use of color-coded files, hanging files, and green heavy-duty file folders occurs in some ORD components. The most frequently used non-standard file items are the special printed, hardboard, contract file folders used for both the contract files and the project files. These folders are a stock item approved for use by the Office of Logistics specifically to maintain contract files. The less expensive Agency standard file folder could be used for the project files, but ease of document retrieval may outweigh other considerations in ORD's employment of contract folders.

4. Files Disposition

ORD records are not being transferred to the Agency Archives and Records Center (AARC) in accordance with the disposition instructions of the DS&T records control schedule. In most cases the transfer of project files to AARC is prompted by the need for storage space. This is evidenced by the pattern of numerous small deposits at AARC rather than larger, scheduled deposits. In some isolated cases, official files are being destroyed rather than transferred to AARC for permanent retention. Also, temporary records such as chronos and other

administrative files are being kept longer than their retention time established in the records schedule.

Files disposition should be a shared responsibility of the office records management officer (RMO) and the division records custodians. The lack of appointed records custodians in ORD hinders efforts to manage these records. Moreover, ORD has not had the benefit of an RMO who did not have other primary duties that detracted from efforts to perform the files disposition function. Having the responsibility as Chief of Registry and Freedom of Information Officer has prevented the RMO from taking a stronger role.

The records control schedule currently being used in ORD has been in existence since 1977. While it has been adequate to the task, it is broad in scope and confusing to anyone with little records experience. A new DS&T schedule covering ORD records has been prepared but has not yet been approved by the Archivist of the United States.

Few of the officer and clerical personnel interviewed had actually participated in efforts to reduce their records holdings or transfer them to AARC. Even fewer were aware of the disposition instructions of the records control schedule that applied to their records. This has led to records being held in office areas beyond the retention time cited in the records control schedule.

There has been no major effort to reduce these holdings within ORD in the last four years. As a result, records have gradually been accumulating and ORD is beginning to experience a shortage of records storage space. This seems to be reflected in the reduced footage of records transferred to AARC during this time. The turnover of ORD personnel, both officer and clerical, has had a negative impact on the disposition of these records due to the loss of continuity in following established records procedures.

5. Machine-Readable Records

It is an objective of the Office of Information Services (OIS) to include machine-readable records in office records control schedules. To meet this objective, OIS plans to assist Agency components in drafting such schedules. The ORD machine-readable data bases listed below, which reside in the Virtual Memory System (VM), need to be considered for inclusion in the draft schedule:

--	ORD TRAIN	- Management Staff
--	ORD LOG	- Management Staff
--	FUND STATUS REPORT	- Planning, Programming & Budgeting Branch
--	PAM	- Advanced Concept Staff
--	IRAD3	- Advanced Concept Staff

When the PAM ABSTRACT INDEX (PPBB) and other ORD systems become operational, draft schedules will be prepared to cover them as well.

Users of these data bases expressed some dissatisfaction with the ORD TRAIN and ORD LOG systems. They felt that the ORD TRAIN system is slow and cumbersome to operate, most menus require complete re-entry of all data when errors occur, and overlapping data must be entered into three different menus. Also, the information contained in the ORD LOG data base is seldom used; therefore it is not kept current.

The need for creation of additional data bases to bridge gaps in ORD's retrieval and research capabilities was brought to our attention throughout ORD. To fulfill this need, ORD efforts are being directed toward creating data bases to supply a standardized index of key words for ORD components to track ongoing projects and research past projects, to build an index of final project reports for ORD personnel to retrieve data concerning previous projects, and to establish a joint data base for ORD components to share similar information currently maintained in separate systems.

Also, the need for a standalone system to protect bigot and sensitive information was raised by ORD personnel. The Chief, Data Management Branch, referred to the following standalone systems that are being considered for use by the Collection Technology Group and the Processing and Analysis Technology Group to meet this requirement:

-- WANG 75PC03T - certified tempest tested and has a removable hard-disk cartridge for overnight safe storage.

-- IBM 3270 PC - certified tempest tested and has a removable floppy disk for overnight safe storage.

-- Apple MacIntosh - will not be tempest approved until July 1985.

6. Micrographics

There currently are no major micrographics applications in ORD. In the past, a program to convert entire project files to microfiche for permanent retention was in effect. The hard copy documents were destroyed upon verification of the microfiche. This procedure was stopped around 1975 because of difficulty in conducting FOIA searches via microfiche, a lack of microfiche equipment, and the reluctance of project officers to use microfiche. Project files have been deposited at AARC in hard copy form ever since this procedure ceased.

While conversion of the entire project file to microfilm may no longer be feasible, maintaining a collection of the final project reports in microform could benefit ORD as a reference

tool in its library. A systematic manner for providing microfiche copies to the library must be established to ensure that the collection is appropriately maintained.

7. Directives

Within ORD, office notices are produced and distributed in a formal, systematic manner. The ORD Support Branch maintains the numerical sequence for controlling ORD General Notices and maintains copies of active and rescinded issuances for reference and archival purposes. The Support Branch also maintains the official set of Agency regulations, notices and handbooks for use by all ORD personnel. The RMO serves as the ORD distribution officer for Agency regulatory issuances, and routes copies of Agency regulations, notices and handbooks to ORD components for information purposes.

8. Forms

Approved Agency forms, Standard Forms, and other Government forms are used throughout ORD. ORD components follow the procedures established by the Agency's forms management program and call upon the Agency forms manager for advice as appropriate. ORD is currently on record in the Agency forms program as the originating office or office of primary interest for only two forms. As the originator of these forms, ORD components coordinate on their design, approval, reprint, revision, consolidation and elimination as well as their systematic storage and replenishment. The use of bootleg forms in ORD is minimal and their usage rate does not warrant their inclusion in the official forms program.

9. Information Security

ORD has encountered no major problems in meeting its responsibilities to protect classified information. This is especially true in determining the proper classification, markings, and citations for ORD correspondence. However, during an inspection of ORD's information security program by a representative of the Information Security Oversight Office (ISOO), some inconsistency in portion marking of ORD classified documents was noted. During discussions with the OIS survey team, ORD personnel mentioned they were unsure about the use of control designators (i.e., NOFORN, NO CONTRACT, ORCON, etc.). These minor inconsistencies exist because there is no focal point in ORD to monitor the classification program and to provide guidance and assistance in this area.

10. Vital Records

The purpose of the Agency's Vital Records Program is to ensure that essential information is available to continue Agency activities in the event of a local disaster or national emergency. Each component should have a current Vital Records

Schedule that provides for the off-site storage of duplicate vital records for use in case the operating records are inaccessible or destroyed. ORD currently has no Vital Records Schedule; however, the ORD RMO is working with the Directorate RMO to develop a schedule to cover essential ORD records.

C. RECOMMENDATIONS

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2. Appoint Assistant Top Secret Control Officers at the Group Level.

The ORD RMO, as Area Top Secret Control Officer, currently performs all control functions for TS documents charged to ORD by the Ames Building ISC. There are no Assistant Area Top Secret Control Officers to provide support at the group level.

A recent inventory of ORD's procedures for the accountability and handling of collateral Top Secret documents revealed no discrepancies. Nevertheless, to strengthen its Top Secret control program, ORD should designate an Assistant Area Top Secret Control Officer for each group to perform subordinate control and distribution functions in support of the Area Top Secret Control Officer.

3. Establish standardized criteria for the contents of the Project Files.

There is no current office policy that establishes the criteria for the material to be maintained in the project file. The lack of an established criteria or guideline to distinguish the contents of the project file from that of the contract file

hampers the maintenance and use of these records. The contract file is relied on more by office personnel for project information and as a result, project files at times are incomplete and even destroyed. Also, reliance on the contract file is not a good practice because of its temporary retention time.

ORD should establish a standard guideline that identifies the criteria for material to be stored in the project file. Adherence to this criteria would ensure completeness of the project file, encourage reliance on it, increase its usefulness and value as the official permanent record of the project, and eliminate unnecessary duplication of documents in both contract and project files. In addition, COTRs need to be reminded of the legal requirement to preserve and protect material in project files which are permanent records of the Agency.

Discussions with COTR's and members of the Contract Staff led to the following list of documents that should be retained in ORD project files:

Request for proposal (RFP)
Contractor's technical proposal
Contractor's cost proposal
Copy of the contract and any addendum
Project Approval Memorandum (PAM)
Contract funding justification (Form 2420)
Proposal audit report
COTR inspection reports on contractors performance
Contractor's technical reports
Contractor's financial status reports
COTR's final inspection report
COTR's specific trip reports
Contractor's final report
Manuals, charts and drawings
All documents pertinent to the administration of the project

4. Adopt a standard file system for ORD Administrative Files.

ORD support personnel noted that they had difficulty in filing and retrieving documents relating to administrative records. The subject file categories in use are inadequate and these records are not maintained in a consistent manner throughout ORD.

The file system recommended for filing administrative records throughout the Agency is the Subject File Classification System shown in [redacted]. This system is designed to be tailored to individual office filing needs. All ORD components should adopt the Agency subject filing system to improve the usefulness of their administrative records. The office RMO can provide assistance to component personnel in setting up this system. 25X1

5. Reduce duplication of Chrono Files.

Chrono files are being maintained in ORD at the office, group, and division levels. In addition, each division maintains a secondary chrono file broken down by individual analyst, and the analysts also maintain their own chronos. This multiplicity of chrono files results in unnecessary duplication of records.

The secondary division chrono files should be discontinued; the same information is held in the primary division chrono file and by the analysts themselves. In addition, the office-wide chrono file inherited by the RMO from the former registry operation further duplicates ORD chrono holdings. It either should be eliminated or should be maintained no longer than six months for ready reference only.

6. Establish procedures to organize and control ORD vu-graphs.

ORD vu-graphs currently are not maintained or controlled in an organized manner. Vu-graph collections are not indexed and no charge-out systems are used. The lack of an index or charge-out system makes it difficult to readily retrieve vu-graphs and frustrates efforts to track and update them. The manner in which vu-graphs are handled throughout ORD is inconsistent and informal. Indeed, there is no established system to coordinate efforts to maintain, control, retrieve, or create vu-graphs throughout ORD.

Guidelines should be established to organize and control vu-graphs at the D/ORD and division level.

The Director's vu-graph collection should be managed and organized in the following manner:

-- Maintain vu-graphs in a centralized collection
-- Cross-index by vu-graph title and assigned number
-- Control through a formal charge-out system
-- Maintain hard copy backup for references purposes
-- House vu-graphs either in the office of D/ORD, PPBB, or RMO for convenience and control of physical access
-- Assign one individual the responsibility to manage this collection

The division vu-graph collections should be monitored, preferably by the individual assigned the responsibility for managing the D/ORD's vu-graphs, to ensure these collections are kept current.

7. Eliminate use of non-standard file supplies.

The filing supplies used throughout ORD consist of standard and non-standard items. Even though use of non-standard items, such as color-coded folders, hanging files, and green heavy-duty

file folders to house administrative records, is limited, it is costly and unnecessary. Color-coded folders are being used to house small groups of files instead of the large records holdings for which they were designed. The use of green heavy-duty folders reduces file storage capacity because of their thickness. Hanging files create extra work because their contents must be removed, placed in standard file folders, and relabeled before they can be transferred to the AARC. Finally, contract file folders purchased specifically to house official OL contract files are being used to maintain project files.

ORD should conform to Agency practices in the use of standard file folders and eliminate the use of non-standard supplies. This action would reduce costs and increase files storage capacity. In the case of contract file folders, ORD may find that ease of document retrieval and storage may outweigh cost considerations.

8. Increase efforts to reduce records holdings in ORD.

ORD is beginning to experience a space crunch because file holdings have been accumulating during the last four years. There has been little effort to transfer records to AARC during this time. Because the office RMO is no longer burdened with the role of operating the registry, stronger efforts can be made in ORD toward fulfilling its records management responsibilities.

The office RMO should take a more active role in monitoring records holdings of office components, advising office personnel of the disposition instructions for scheduled items, and providing guidance on the administrative process for transferring records to AARC. The RMO should also be expected to update the records control schedule to accommodate new items. In addition, records custodians should be appointed by each division to work with the RMO in matters concerning their records. Records custodians should be knowledgable of the records schedule items that apply to their files. This arrangement will assist in providing a more structured records program and make component personnel more aware of their records keeping responsibilities.

9. Improve or eliminate the ORD LOG and ORD TRAIN automated systems.

The ORD LOG system is used to maintain an inventory of safes and some equipment charged to contractors. The ORD TRAIN system is used to produce up to thirty different reports concerning matters related to personnel and training. The ORD LOG data base is seldom updated because there is little use made of this information. The ORD TRAIN system is costly to maintain because it employs cumbersome inputting procedures which require extra manhours to update the data base during weekends. Users of the ORD TRAIN system said that this system is slow and difficult to update because of its software design.

ORD should consider eliminating these systems because they are used infrequently, are inefficient to operate, and are costly to maintain. Also, the information produced by these data bases can be obtained from other Agency reports. If ORD wishes to maintain an in-house capability to produce this information, it should revise these two systems or develop new ones.

10. Establish a standardized keyword index for use throughout ORD.

Discussions with the ORD Librarian disclosed a desirability of developing a standardized keyword index to be used in conjunction with all ORD data bases. The establishment of a glossary of standardized keywords would facilitate the ability of ORD personnel to query these fast-growing data bases by using a common terminology. The ORD Librarian suggested the use of a glossary such as the Institute of Electrical and Electronic Engineers (IEEE) Thesaurus to improve retrievability and to eliminate the creation of ad hoc keywords by office personnel. The ORD Library would like to apply a standard keyword index such as the IEEE Thesaurus to the ORD data bases and to the numerous commercial data bases it can access. A standard index would provide uniformity in the selection of keywords that could be used in future searches.

11. Combine the ORD Library, PPBB, and ACS automated systems.

The Planning, Programming & Budgeting Branch (PPBB), the Advance Concepts Staff (ACS), and the ORD Library would like to combine their individual data bases into a single system that would enable them to retrieve data on past and current research and development projects. The PAM and IRAD3 data bases currently operated by ACS reside in the Virtual Memory(VM) System. The PPBB PAM Abstract Index is now on WANG but is due to be converted to the VM NOMAD System. The Library's Final Report Index and Keyword Index are systems that will be included in VM when they become operational. (See Recommendations 10 and 12).

ORD should continue to develop a joint data base from these systems. A unified system will enhance ORD's capacity to conduct more comprehensive searches, increase the data available to users, eliminate overlapping information contained in multiple systems, and leave just one system to maintain. This joint data base would provide information on all past and current ORD projects, plus, projects of interest being conducted by outside contractors.

12. Convert the ORD Library collection of final project reports to microfiche.

The library's hard copy collection of final project reports is incomplete and limited to reports produced during the last

three to four years. A more efficient method of storing and retrieving these hard copy reports would be to convert them to microform. Even though the program to convert project files to microform is no longer in effect, the files that were converted to this medium still exist. Included in these files are copies of final project reports covering previous years which could be used as a foundation to build a new microform collection. From this point on, microfiche copies of final project reports could be provided either by the contractor or by ORD.

ORD should include a statement in its contracts requiring the contractor to provide two microfiche copies of the final project report if the contractor has an in house capability. One of these copies should be earmarked for the ORD Library and the other for the ORD Contract Staff. The use of microfiche would enable the Contract Staff to maintain a copy of the final report in the contract file without adding extra bulk to its already voluminous holdings. (See Recommendation No. 13)

The ORD Library should maintain a reference set of all final project reports in microform along with an automated index to these reports. This storage medium would better serve ORD because it would reduce the amount of file storage space required while improving its capability to provide a more extensive reference collection. Also, the office's limited capability to search and retrieve data concerning past programs causes project officers to rely heavily on institutional memory. To gather background information, individuals must seek assistance from officers on previous projects, if available, or devote considerable time trying to research an earlier project. The value of this collection would be enhanced through the use of an automated index consisting of common data elements, such as the contractor, contract number, project officer, date originated, date completed, project title, project key words, etc. An automated index would provide greater flexibility in searching data, reduce time spent retrieving it, and maximize the use of the information.

13. Implement procedures to improve ORD Library's reference collection of final project reports.

The ORD Library collection of contractors' final project reports is maintained only in hard copy form and limited to projects completed during the last three to four years. This collection is incomplete because procedures for providing copies of final reports to the library have eroded or because ORD personnel have been inconsistent in following these procedures. During discussions with the COTRs, it was apparent that many of them are not aware that the library maintains this collection or that they are responsible for providing it with copies of final project reports. The frequent turnover of personnel in the office may be partially responsible for the fact that operating guidelines and instructions are not being passed on.

To increase the value of this collection, ORD personnel should be informed of their responsibility to provide the library with copies of final reports and the steps necessary to accomplish this. An expanded collection of final project reports would give the office a much improved capability to track and retrieve data on past research and development projects (See Recommendation No. 12)

14. Appoint an ORD security classification focal point officer.

One individual in ORD currently is responsible for coordinating on matters concerning the Agency National Security Classification Guide [redacted] but no one in ORD is officially designated to provide guidance and assistance to staff members on the classification, compartmentation, and control of classified information. 25X1

ORD should appoint a Security Classification Officer to ensure compliance with the requirements of Executive Order 12356, which establishes Federal policy for the classification, compartmentation, and control of national security information. These requirements are implemented within the Agency through [redacted] and related regulatory issuances. The Security Classification Officer could monitor ORD's classification practices, act as office-wide referent, and serve as ORD liaison officer to the Agency program. A classification officer would also help to eliminate office inconsistency in applying classification markings, especially with regard to portion marking and the use of control designators. 25X1

9 April 1985

MEMORANDUM FOR: Director of Information Services

FROM: [redacted] STAT
Agency Records Management Officer

SUBJECT: Survey of OIS Information Management Program

1. Attached is the survey report prepared by IRMD on OIS' information handling and records management practices. At our recent meeting with you and members of your staff, we discussed a draft of this report and exchanged views concerning the survey results. With some minor changes, you approved the survey findings and recommendations. We are now officially submitting the report to you for implementation.

2. During our discussion of the report, you expressed a desire to see a number of the recommendations implemented either immediately or as soon as feasible by OIS components. Members of IRMD will be available, if needed, to offer assistance or guidance in implementing these changes. We will take prompt action in identifying an officer in the division to serve as OIS records management officer. That individual will be the focal point for assisting OIS divisions with the records management problems identified in the report.

3. We have appreciated the opportunity to survey OIS and the wholehearted cooperation given by members of your staff. We believe that adopting the recommended changes will result in more effective handling and storage of information in OIS, as well as greater efficiency in the use of this information.

4. If you or any member of your staff have any questions or need additional information on the survey findings, please contact [redacted] STAT
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SURVEY OF
OFFICE OF INFORMATION SERVICES
INFORMATION MANAGEMENT PROGRAM

A. INTRODUCTION

1. A survey of information handling and records management procedures in the Office of Information Services (OIS) was conducted during the period 1 November 1984 - 14 January 1985. The survey was carried out by [redacted] members of the Information Control Branch, Information Resources Management Division, OIS. STAT

2. The purpose of the survey was to review the OIS information management program to determine its effectiveness and compliance with Federal regulations, and at the same time complement an office objective to conduct similar audits of other Agency components.

3. The survey team interviewed members of all OIS staffs and divisions to gain an understanding of how these components manage information and interact with the Ames Building Information Services Center (ISC). Discussions were also held with ISC personnel, and each ISC function was observed to evaluate the services provided, the methods and procedures used, and the reasons for operating as currently established. Personnel throughout OIS were most cooperative and helpful to the survey team. The survey findings are summarized in section B, and specific recommendations are included in section C.

B. SURVEY FINDINGS

1. Correspondence Flow and Control.

All OIS correspondence flows through the Ames Building Information Services Center (ISC), which provides document services for OIS as well as other tenants in the Ames Building. Mail is picked up and delivered at Ames Building three times a day by the Agency Headquarters courier--at 0830, 1030, and 1330. The ISC's courier then makes scheduled runs within the building at 0900, 1100, and 1400. The ISC receipts, controls, and opens or wraps most of the incoming/outgoing correspondence for OIS components. It also maintains high speed printers to receive cable traffic, a facsimile device to send and receive documents electronically, and a copier to reproduce documents.

The ISC is fulfilling its initial goal of providing basic services to OIS and other customers during its early stages of development. Until it attains its full operational capacity, the overall adequacy of its staffing and procedures cannot be fairly assessed. Currently, it is awaiting extensive office renovation to provide space for efficient arrangement of work stations and for the additional equipment needed to perform its full range of intended services, including training of MI Career Sub-Group registry personnel.

Approximately one-third of the correspondence processed for OIS by the ISC consists of Sensitive Compartmented Information (SCI) documents, collateral Top Secret documents, and selected documents of lesser classification, which are controlled by the ISC to the division level. Much of the internal OIS accounting for these documents is inconsistent and redundant. The division secretaries record the same documents again in one or more control mechanisms--manual logs, the Wang system, and a computer based system--and no feedback is provided to the ISC concerning document location beyond that level.

Even with these recording mechanisms, Top Secret and SCI accountability in some areas is impeded by inadequate operating guidelines and inconsistent handling procedures. For example, the Information and Privacy Division (IPD) was unable to account for a number of collateral Top Secret documents charged to them when the last Top Secret inventory was conducted. Moreover, the Regulatory Policy Division's (RPD) incoming correspondence is not processed by the ISC, and a portion of RPD and IPD outgoing correspondence is receipted and packaged by their division personnel.

This fragmented handling of incoming and outgoing correspondence restricts the ISC's ability to provide routine document handling services. It also limits the ISC's effectiveness as a center for document retrieval, answering queries on the status of documents, and satisfying accountability requirements for collateral Top Secret and SCI material.

Document accountability will soon be strengthened when the Common Use Automated Registry System (CARS) becomes fully operational in the ISC. CARS (and later TRIS, The Records Information System) will allow automated control and tracking of documents down to the branch level. Effective use of CARS, however, will require an organized method for providing feedback to the ISC and increased interaction between the ISC and its customers.

2. Files Management

The majority of OIS records holdings are maintained in centralized branch files. Files kept on an individual basis are mostly working files. This local centralization eliminates duplication, saves space, and makes the files more accessible to others. Most of the files are in good condition and organized in a consistent manner.

The filing systems employed are generally appropriate for the records being maintained. The system most common in OIS is subject filing--the files are arranged in alphabetical sequence by subject title. The case files used in IPD and RPD are arranged either alphabetically or numerically, using the filing feature most often requested in retrieving them.

Several areas of files maintenance in OIS components need to be improved, however, to increase efficiency in filing and retrieving documents from the files. In many cases, filing equipment is not labeled, file drawers are overcrowded, files are not properly divided by file breaks, file folders have obscure headings, permanent and temporary records are interfiled, chargeout methods are not being used, and inconsistent filing procedures are causing backlogs. Improvement in these files maintenance areas is critical to the continued usefulness of the information contained in the files.

3. Filing Equipment and Supplies

The filing equipment in OIS consists mostly of safes, lateral file units (conserv-a-files), and microfiche cabinets. This equipment is compatible with the types of records stored in OIS and conforms to requirements of security, building structure (floor load), and arrangement of office areas.

OIS office space is a mixture of secure and non-secure areas. In secure areas, lateral and shelf file equipment is being widely used. This equipment is recommended because it uses floor space efficiently, speeds filing and retrieval, and costs less than safe-type storage equipment. More of this open-shelf filing equipment is needed in areas where makeshift measures currently lead to files being stored in equipment not designed for such use or being stacked on or around employees' desks. These needs have been submitted by the divisions to the Plans and Management Staff, OIS, and are scheduled to be met using FY 1985 funds.

In non-secure areas, standard two, four, and five-drawer safes are being used to satisfy secure storage requirements. Within OIS, the Agency objective to replace all Remington Rand safes in outlying buildings with security approved safekeeping equipment has been fulfilled.

The filing supplies used most frequently throughout OIS are readily available standard items. Only IPD is a major user of nonstandard color-coded file folders. This exception is justified by the volume of their files. Overall, the use of Agency standard file folders and supplies far outweighs, as it should, the use of nonstandard heavy-duty file folders and supplies, which are expensive and reduce storage capacity.

4. Files Disposition

Files disposition is a shared responsibility of the office records management officer (RMO) and the division records custodians. In recent years, however, OIS has not had the benefit of an experienced RMO who did not have other, primary duties that detracted from efforts to perform this function. Moreover, the records control schedule currently being used has been in existence since 1976 and covers records of the Office of the DDA as well as those pertaining to OIS. While it has been adequate to the task, it is broad in scope and confusing to anyone with little records experience. A new schedule covering OIS records has been prepared but has not yet been approved by the Archivist of the United States.

Few of the officer and clerical personnel interviewed had actually participated in efforts to reduce their records holdings or transfer them to the Agency Archives and Records Center (AARC), but most were aware of the steps involved or knew who to contact for guidance. Some division records custodians, however, were not familiar with the records control schedule or how to apply it to the disposition of their records. Reasons given were they did not have time to review their files due to a heavy workload, or it was just not a priority responsibility.

As a result, OIS records holdings have gradually been accumulating, especially during the last five years. IPD and RPD have been able to keep pace through periodic transfer of records to AARC or destruction of hard copy files after conversion to microfiche; however, the front office, IRMD, and the Classification Review Division (CRD) are beginning to experience a space crunch.

5. Machine-Readable Records

It is an OIS objective to include machine-readable records in office records control schedules. To meet this objective, OIS plans to draft such schedules for all DA components in FY 85 and has prepared a schedule covering cover its own machine-readable records.

The OIS machine-readable data bases listed below, which reside in the General Information Management System (GIMS) and the Virtual Memory System (VM), are covered in the draft schedule.

Declassification Review System (DARE)
Declassification and Release System (DECAL)
Information and Privacy Current Cases Log (IPLOG)
Information and Privacy Historical Log (IPHIST)

Forms and Reports Management System (FARMS)
Micrographic Inventory Control System (MIC)
Records Center and Archives Management System (RAMS)
Archives and Records Center Inventory System (ARCINS)
Top Secret Collateral Automated Data System (TSCADS)
MI Training System (MITS)

As The Records Information System (TRIS), the Released Information Management System (RIMS), and other OIS systems become operational, draft schedules will be prepared to cover them as well.

6. Micrographics

There are three major micrographics applications in OIS. They comprise three microfiche systems that are being used productively in the following division operations:

DECAL - IPD's computer-based index to its microfiche collection of declassified or sanitized documents released to the public in response to requests under the Freedom of Information Act or the mandatory declassification review provisions of Executive Order 12356 and predecessor Orders. This system is used to research requests for information previously declassified or sanitized and released. Retrieval capability of this system is impeded by lack of a uniform indexing code.

DARE - CRD's computer-based index of documents reviewed for declassification under systematic and mandatory review requirements. Essentially, it is an index recording review actions and the location of reviewed documents at AARC. The updated data base is produced on COM (computer output microfiche) at periodic intervals.

Agency Directive Program Case Files - An RPD record collection of case files containing regulations and their supporting documentation from early 1950s to present, maintained permanently on microfiche. The source documents are destroyed upon verification of the microfiche.

There is a smaller IPD micrographics application that is less clearly productive. It consists of official chronological and case files that are converted to microfiche to allow retention long after the source documents are destroyed. These microform records are not officially recognized in the records control schedule item that covers the source document record series. If it is indeed necessary to keep these documents beyond their currently scheduled retention time, the records schedule needs to be amended accordingly.

No potential micrographics applications were identified during the survey.

7. Directives

Within OIS, office notices are produced and distributed in a formal, systematic manner. The secretary to the Director of OIS maintains the numerical sequence for controlling issuances and retains copies of active and rescinded issuances for reference and archival purposes. Also, a set of Agency regulations, notices, and handbooks is maintained and controlled by the Director's secretary and by each division secretary for use by their office personnel.

OIS is fortunate to have within its organizational structure the component that manages the Agency's regulatory system. RPD is responsible for the processing, coordination, publication, and distribution of all regulatory issuances. OIS personnel seek guidance from RPD in matters relating to regulatory issuances, and no particular problems were noted.

RPD is currently using several manual and automated systems to track issuances through the various stages of the regulations process. In addition, some of its personnel have created individual systems on Wang for similar purposes. Combining all these systems into one automated system would eliminate redundancy, reduce complexity, and facilitate access by those who need to use the tracking information.

8. Supplemental Distribution

AARC is responsible for maintaining supplemental distribution copies of regulatory issuances, as well as Agency intelligence reports and other publications. AARC currently uses a manual system to control and account for these supplemental copies. While the manual system works adequately, it could be significantly enhanced through automation. There is an automated system currently being developed in the Agency for similar purposes that might be used for this application.

9. Forms

Approved Agency forms, Standard Forms, and other Government forms are used throughout OIS. OIS components follow the procedures established by the Agency's forms management program and call upon the Agency forms manager, who is an IRMD officer, for advice as appropriate.

OIS divisions are currently on record in the Agency forms program as the originating office or office of primary interest for 55 forms, which are reviewed annually to eliminate those no longer needed. As the originator of forms, OIS components coordinate on their design, approval, reprint, revision, consolidation, and elimination as well as their systematic storage and replenishment.

Some "bootleg" forms being used in IPD and CRD have a usage rate now approaching a level that warrants their inclusion in the Agency forms management program for cost-effective printing and storage.

10. Information Security

OIS's performance is consistently strong in meeting its responsibilities to protect classified information. This is especially true in determining the proper classification, markings, and citations for collateral documents. Following the appropriate administrative and security procedures relating to SCI correspondence seems to be more challenging, especially in preparing correspondence transmitting SCI documents, because this type of correspondence is handled so infrequently. The ISC, in screening correspondence transmitted by OIS, periodically surfaces improperly-prepared documents transmitting SCI material.

One OIS division, IRMD, is responsible for the classification provisions and general administration of the Agency information security program as required by Executive Order 12356, and for preparing the Agency National Security Classification Guide [redacted]. As the Agency's liaison office with the Information Security Oversight Office (ISOO), it coordinates inspections of Agency components to ensure compliance with national policy guidelines to protect classified information. STAT

OIS clerical and officer personnel appropriately seek guidance from the Agency Security Classification Officer in IRMD, who provides assistance by conducting informal briefings and distributing literature concerning the classification, compartmentation, and control of classified information.

C. RECOMMENDATIONS

1. Enable the ISC to process the correspondence of all OIS components.

Currently, the ISC is not allowed to process RPD's incoming mail or portions of RPD and IPD outgoing correspondence. Instead, this mail and correspondence is being controlled, receipted, and packaged by division personnel.

The ISC should be given the authority to open, control, and package all classified correspondence received or sent by OIS components. Correcting the fragmented handling of OIS correspondence would improve the ISC's effectiveness in providing basic registry services, serving as a center for document retrieval, responding to queries on the status of documents, and satisfying accountability requirements for collateral Top Secret and SCI documents. Enabling the ISC to process this correspondence would also free division personnel to devote more time to other duties.

2. Eliminate logging of documents by division secretaries.

The ISC currently controls documents to the division level. Division secretaries control the same documents again to the branch level, but there is no feedback to the ISC of current document location information. This decentralized procedure causes unnecessary duplication, incomplete control data at both levels, and loss of a focal point to track documents.

Except for the internal control systems serving IPD's and RPD's special requirements, logging of documents by division secretaries should be eliminated when CARS becomes operational. Through CARS, the ISC can track incoming and outgoing correspondence and the interoffice movement of correspondence. Documents passing between divisions or branches would be recorded through the ISC so that the current document location information would be centrally available to all OIS components.

3. Establish a standard method for components to provide document information to the ISC.

To support the document control services that will be provided to Ames Building tenants by the ISC, a standard method should be established to send updated document status information to the ISC. This feedback mechanism should be easily recognized and simple to use.

Currently, the ISC uses the eight-part Form 238, Document Control, to record and track the movement of documents until they are filed, destroyed, or sent out of OIS. When interim CARS becomes operational, the document control information will be keyed into an automated data base instead of on Form 238. The ISC is planning to discontinue using this form and rely on components to provide updated information either by informal note or telephonically.

Although the Form 238 will no longer be needed to record document control information, it can still be used as an effective tracking tool using only the control number of the document attached. Updated copies of the form could be pulled and sent back to the ISC each time the document

changes office location. Either this form or some type of routing slip attached to documents flowing through the ISC should be used as a standard means to return document status data to the ISC.

Using a standard feedback mechanism in conjunction with CARS would enhance the efficiency of OIS information flow and document accountability until TRIS becomes operational. (TRIS will enable components to directly access and update the document status information.)

4. Establish better files maintenance procedures.

A general lack of attention to controlling the growth of files in OIS and to maintaining them properly has led to problems such as files being lost, difficulty in retrieving documents, duplication of information in the files, overcrowded files hindering access, and poorly labeled folders and files equipment.

The appropriate filing system to use for office files should be determined by the type of records being maintained. The file system recommended for filing administrative records throughout the Agency is the Subject File Classification System [redacted] This system is designed to be tailored to individual office filing needs. All OIS components should adopt the Agency subject filing system to improve the usefulness of their administrative records. STAT

While subject files contain information about general planning and operations, case files contain information concerning a specific action, event, person, project, place or organization. IPD's case files are arranged in alphabetical sequence, and RPD uses the Agency regulatory numbering system as a file outline. Both systems are appropriate to the type of records being maintained.

To increase the usefulness of their files, OIS components should improve their filing operations in the following areas:

a. Labeling. File folder labels should accurately reflect the contents of the file, inclusive dates, disposition instructions, and applicable item number in the records control schedule. Filing equipment should be labeled to indicate contents. All OIS components should initiate the steps that can be put into effect at once and follow up with the remaining stages when the new OIS schedule is approved.

b. Sorting. Temporary and permanent records should be filed in separate files in accordance with the records control schedule disposition instructions. This will help in reducing holdings and in arranging the remaining files in accordance with the new Subject File Classification System.

c. Indexing. Subject files and case files using a subject topic file arrangement are self-indexing. Indexing is usually required for numerically-arranged files. An updated index is needed to provide the physical location of RPD's holdings.

d. Filing. Records should be filed daily. Within the file, documents should be filed chronologically. Loose filing is recommended but fastened filing is appropriate for large files. Front office and IPD personnel should file with more regularity to prevent backlogs.

e. Chargeout. Files should be made available through an established chargeout system so that the file may be located and retrieved. This is a good practice for all OIS components, but it would be especially beneficial to IPD, where tracking files seems to be a problem.

f. Disposition. Files should be segregated for disposition wherever possible using the file break or cutoff method. Using this method, files within a series are closed and new files opened at regular periodic intervals, usually annually, for easier disposal or transfer to AARC. All OIS components should apply this method in the disposition of their administrative files.

5. Make a concerted effort to reduce records holdings in OIS.

OIS is beginning to experience a space crunch in some components. This is especially true in IRMD, CRD, and the Front Office area where records holdings have been accumulating during the last five years. There has been little activity in transferring records to AARC during this time. Efforts to reduce holdings are already underway in some of these components, and the office RMO should see that the transfer of records to AARC occurs in all divisions. By adhering to the records schedule, IPD and RPD have managed to avoid a space problem through periodic transfer of hard copy holdings to AARC and conversion of hard copy files to microfiche.

The office RMO should take an active role in monitoring the records holdings of office components, advising them of the disposition instructions for scheduled items, and providing guidance in the administrative process of transferring records to AARC. The RMO should also be expected to update the schedule regularly to accommodate new items. The OIS component representatives and records custodians should be knowledgeable of the records schedule items that apply to their files.

6. Transfer the OIS RMO function from the Plans and Management Staff to IRMD.

As a member of the Plans and Management Staff, any individual performing the OIS RMO function must devote most of his or her time to fulfilling other responsibilities as Secretary/Administrative Assistant. The disparity among these duties hinders attempts to meld the records function into the normal work flow. Efforts to monitor the various elements of the records program are further impeded if the individual assigned this duty does not have the records background or training required.

To provide more effective direction of the OIS information management program, the OIS RMO function should be placed organizationally in the Information Management Branch (IMB), IRMD. The function could be assigned to the existing GS-12 position in IMB. This would establish the function in a more appropriate area of common responsibilities, at a grade level commensurate to the expertise required, and would enable the incumbent to take a stronger role in providing guidance to OIS personnel.

7. Revise the OIS records control schedule to include microforms of IPD chronos.

Currently, IPD is microfilming chronological files (response letters to requesters) to allow retention long after the hard copy files are destroyed. The value of the information contained in the records does not change because the storage medium changes. Changes in the retention time for microfilm records must be justified and the OIS records control schedule amended accordingly.

8. Further improve operating procedures of the Support Services Branch, IPD.

During the survey, the Correspondence and Records Branch (CRB), IPD, was reorganized as the Support Services Branch (SSB). SSB now includes the intelligence assistants (IA's) who previously were part of the Initial Evaluation Branch. We support this effort to strengthen the management of this branch and improve the efficiency of operations. The reorganization provides an opportunity to further improve the operating procedures used to control and process the correspondence and records flowing through IPD.

CRB's efficiency of operations had suffered in the recent past. Previous branch personnel had many years experience in IPD, operated under established guidelines, and were able to perform a number of additional duties. Currently, however, three personnel of this branch have been in IPD less than a year. This high turnover rate has resulted in operating

guidelines and instructions not being passed on to branch personnel. The lack of experience and established guidelines, in turn, has impeded personnel in picking up the IPD process, has slowed down the paper flow, and has kept some functions from being fully performed.

The addition of the IA's to this branch supports suggestions offered by the survey team to reduce the workload of information control personnel and enable the IA's to better support the case officers through functions such as researching requests, documenting the tasking of requests to and from Agency components, and performing other administrative duties. This would put some functions in more experienced hands, alleviate the heavy workload of the information control personnel, reduce delays and backlogs in paper flow, cut back errors, and better utilize personnel and resources.

To reduce occurrences of misplaced files or difficulties in locating them, one of the information control personnel should have sole responsibility for pulling and refiling files and keeping track of them. This approach was tried with summer help and was successful.

9. Strengthen DECAL retrieval capability.

During discussions with IPD case officers, it was mentioned that the DECAL System at times is not very responsive to searches. There are occasions when case officers know that documents previously declassified or sanitized are in the system but attempts to retrieve them are difficult or unsuccessful. Currently, the operator of the DECAL System selects keywords from the documents to be entered into the system, but searches are based on the keywords case officers select from the requesters' letters. This inconsistency in selecting retrieval data weakens system response.

IPD's case officers should be given the responsibility for selecting the document keyword indexing data for entry into the DECAL System. This would complement the way data is chosen to retrieve documents. Decentralizing this responsibility also would reduce the heavy workload of the DECAL operator. This procedure is suggested as an interim measure until a glossary of standardized keywords can be created for indexing and retrieval. Such a system of uniform terminology or coding is needed to support the multiple users of DECAL and its ever-growing data base. The Agency micrographics officer in IRMD can assist IPD in establishing this system.

10. Establish additional RPD telecommunications links with Agency components.

RPD is currently working with OIT representatives to establish additional telecommunications links with other Agency components involved in the regulatory system. These direct links will speed the process of coordinating and approving regulatory issuances by reducing use of the courier system between buildings and ad hoc handcarrying by RPD personnel in priority situations. The electronic link already established with the Electronic Text Editing and Composition System (ETECS) in the Printing and Photography Divivion (P&PD), Office of Logistics, enables RPD to transmit the final text of regulatory issuances directly to P&PD for printing, and it is being programmed to transmit marginal symbols as well as text.

These electronic links should save RPD personnel considerable time and effort by reducing requirements for manipulating text and for making trips to other Agency buildings. OIS should continue to support such efforts by RPD to automate the regulatory process.

11. Consolidate RPD's multiple tracking systems.

RPD is currently using three systems to control and track regulatory issuances from initiation to publication. The systems being used are the incoming mail log on Wang, the paper kardex, and the Wang kardex.

These systems are used for varying purposes, but some of the same information is contained in all three systems. In addition, some editors have established their own systems on Wang to track jobs assigned to them. As a result, some of the same data may be recorded as many as four times. Moreover, in order to find the information they need, RPD personnel must be familiar with each system and able to access it.

RPD should combine the features of these systems into one uniform automated system. A single system would save time by eliminating the need to enter the same information several times. It also would provide the RPD staff greater access to the data and faster retrieval of information. The expanded data base could be manipulated in more ways to provide information needed to answer queries and produce reports.

12. Automate AARC's supplemental distribution system.

The manual kardex system currently being used at AARC to control supplemental copies of regulatory issuances, intelligence reports, and other publications is adequate but does not complement AARC's existing automated

systems. Automating the supplemental distribution system would speed retrieval of information about the distribution of these documents and allow greater use of this data.

An automated system, in addition to providing immediate display of data such as the location of supplemental copies, the number of copies of each document in stock, their individual copy numbers, and the recipients of copies issued, could also be used to automatically adjust stock levels after issue, select documents due for reduction or destruction, produce statistical reports, and provide other useful information.

An automated system would require installation of one Delta Data terminal but would eliminate the need for a number of cumbersome kardex safes used in the manual system, thus freeing space for additional shelving or other purposes. The Office of Current Production and Analytic Support (CPAS), DI, is currently using a automated system for controlling supplemental copies of its publications. The CPAS system should be evaluated for possible use in AARC.

13. Incorporate additional OIS forms into the Agency's forms management program.

OIS-originated forms falling within the requirements of the Agency's forms management program have routinely been included in the Agency forms system. Some additional forms created by IPD and CRD should be considered for inclusion now, because their usage rate has reached or is nearing a level that warrants systematic processing. Inclusion of these forms, listed below, would provide for cost-effective printing on P&PD's press equipment instead of office copiers, and for systematic replenishment and storage.

IPD - DECAL MENU INPUT FORM
- DECAL SEARCH FORM
- CASE FILE ACTION LOG

CRD - RIMS DATA INPUT FORM

14. Better inform OIS personnel in the handling of SCI correspondence.

Because SCI material is handled so infrequently in OIS, the appropriate handling procedures present a challenge to OIS personnel. Of the OIS divisions, IPD and CRD have the most contact with SCI Documents. Preparation of correspondence transmitting SCI documents is a significant problem area. ISC personnel have been fortunate to catch incorrectly prepared outgoing correspondence that could have resulted in a security violation.

OIS should request briefings by the Special Security Center, Office of Security, to instruct both clerical and officer personnel in the appropriate administrative and security procedures relating to SCI correspondence. In addition to enhancing OIS security, strengthening this area would reduce the time spent by ISC personnel in correcting problem situations.

15. Enforce collateral Top Secret document accountability requirements.

Agency requirements for the accountability and handling of collateral Top Secret documents are established in [redacted] Collateral Top Secret Control Handbook. The Agency's documents are controlled centrally through OIS's Top Secret Control Automated Data System (TSCADS). STAT

In the past, OIS components were individually responsible for controlling their collateral Top Secret documents. This responsibility required little effort by most components because they handled few such documents.

Currently, CRD and IPD are accountable for an appreciable number of Top Secret documents. IPD had difficulty accounting for its documents during the last Top Secret inventory. The inventory showed that a number of Top Secret documents charged to IPD were unaccounted for, and a folder-by-folder followup search uncovered a significant number that were never reported to TSCADS.

This situation was caused by inadequate operating instructions for accountability and handling, resulting from the loss of previously established guidelines during transition of personnel. Uniform control practices were further weakened by a special waiver allowing IPD to vary from certain standard procedures specified in [redacted] . STAT

The ISC now operates as the center for the accountability and handling of collateral Top Secret documents flowing through OIS. The chief of the ISC is the Area Top Secret Control Officer and is responsible for maintaining accountability records for all collateral Top Secret documents originated in, received by, or dispatched from OIS, and for reporting these transactions to TSCADS. Assistant Top Secret Control Officers should be designated for each division to ensure that their components comply with the Agency policy and procedures established in [redacted] and to provide required control information to the ISC. STAT